INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)

Under the Paperwork Reduction Act of 1995, no persons are required to respond

| | Application Number | | 09801490 |
|----------|----------------------------|--------|------------|
| | Filing Date | | 2001-03-08 |
| | First Named Inventor Keith | | |
| Art Unit | | | 3693 |
| | Examiner Name | D. Fel | lton |
| | Attorney Docket Numb | er | IVEN125530 |

| | | | | U.S. | PATENTS | Remove |
|----------------------|------------|--------------------------|---------------------------|---------------------|---|--|
| Examiner Initial* | Cite No | Patent Number | Kind Code ¹ | Issue Date | Name of Patentee or Applicant of cited Document | Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear |
| | 1 | 5864827 | A | 1999-01-26 | Wilson | |
| | 2 | 6012043 | A | 2000-01-04 | Albright | |
| | 3 | 6377940 | B2 | 2002-04-23 | Tilfors | |
| | 4 | 6493681 | B1 | 2002-12-10 | Tertitski | |
| | 5 | 6594643 | B1 | 2003-07-15 | Freeny, Jr. | |
| | 6 | 6850907 | B2 | 2005-02-01 | Lutnick | |
| If you wis | h to a | dd additional U.S. Pater | t citatio | n information p | lease click the Add button. | Add |
| | | | U.S.P | ATENT APPLI | CATION PUBLICATIONS | Remove |
| Examiner Initial* | Cite No | Publication Number | Kind Code ¹ | Publication Date | Name of Patentee or Applicant of cited Document | Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear |

| | 1 | 2002 | 0107781 | A1 | 2002-08 | 1-08 | Neyman | | | | | |
|--|---|---|----------------------------------|------------------------------|------------|---------------------------|---------------------|--|---------|---|----|--|
| | 2 | 2006 | 0195386 | A1 | 2006-08 | i-31 | Glodjo | | | | | |
| If you wisl | h to a | dd add | fitional U.S. Publi | shed Ap | plication | citatio | n information p | lease click the Ade | d butto | n. Add | | |
| | FOREIGN PATENT DOCUMENTS Remove | | | | | | | | | | | |
| Examiner Initial* | Cite No | Fore Num | ign Document ber ³ | Country Code ² | | Kind Code ⁴ | Publication Date | Name of Patentee Applicant of cited Document | | Pages,Columns,Line where Relevant Passages or Relevan Figures Appear | TS | |
| | 1 | | | | | | | | | | | |
| If you wish to add additional Foreign Patent Document citation information please click the Add button Add | | | | | | | | | | | | |
| NON-PATENT LITERATURE DOCUMENTS Remove | | | | | | | | | | | | |
| Examiner Initials* | Cite No | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where publisher. | | | | | | T5 | | | | |
| | 1 | LOWENSTEIN, R., "Why Stock Options Can Be Dynamite for a Portfolio," Wall Street Journal (Europe), November 7, 1997, p. 13. | | | | | | | | | | |
| | 2 McGUIRE, C., "FDMM: Set for Launch," Wall Street & Technology 17(3):50, March 1999. | | | | | | | | | | | |
| | 3 | TSU, | M.E., "Tutorial on t | Jsing Op | tions in A | ctive Str | rategies," Deriva | dives Quarterly 6(1). | 39-48, | Fall 1999 | | |
| If you wisl | h to a | dd add | fitional non-paten | t literatu | re docu | ment cit | ation informati | on please click the | Add I | outton Add | | |
| | | | | | EX | AMINE | R SIGNATUR | E | | | | |
| Examiner | Signa | ture | | | | | | Date Conside | red | | | |
| | | | | | | | | ormance with MPE | | . Draw line through a | | |

| | Application Number | | 09801490 | |
|--|----------------------------|-------|------------|--|
| INFORMATION DIOCI COURT | Filing Date | | 2001-03-08 | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99) | First Named Inventor Keith | | | |
| | Art Unit | | 3693 | |
| | Examiner Name | D. Fe | iton | |
| | Attorney Docket Numb | er | IVEN125530 | |
| | | | | |

See Rink Codes of USPTO Planto Documents at view USPTO, DOLY or MPEP 901.04. * Enter office and issued the document, by the two rister code VIPO Standard 97.3. * Frequence painted comment, the reduction or the year of the entery or the improvement precedure to result insurince of the paint document. * Mind of coursent by the appropriate symbols as indicated on the document under WIPO Standard 97.16 if possible. * Applicant is to place a check man's here if English trapquage transitions a standard.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)

| 77 | | 09801490 |
|----------------------|--------|------------|
| | | 2001-03-08 |
| First Named Inventor | Keith | |
| Art Unit | | 3693 |
| Examiner Name | D. Fei | iton |
| Attorney Docket Numb | or | IVEN125530 |

CERTIFICATION STATEMENT

| Please see 37 | CFR 1 | .97 and | 1.98 to make the | appropriate | selection(| s) | |
|---------------|-------|---------|------------------|-------------|------------|----|--|
|---------------|-------|---------|------------------|-------------|------------|----|--|

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 197(e)(1)

OR

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patient office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CPR1 156(c) more than three morths prior to the filing of the information disclosure that the contract of the contract

- See attached certification statement.
- Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

Kevan L. Morgan

_ ...

Name/Print

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Registration Number

42015

| Signature /Ki | Kevan L. Morgan/ | Date (YYYY-MM-DD) | 2007-09-04 |
|---------------|------------------|-------------------|------------|

This collection of information is required by 3T CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file railed by the USPTO to process) an application. Confidentiality is governed by \$5 U.S. C. 12 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application from to the USPTO. There will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. operatment of Comments of the Comment of t

Privacy Act Statement

The Privacy Act of 1974 (P. L. 95-79) requires that you be given centain information in connection with your submission of the stacked form related to a penter application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is SU S. C. (2b)(2); (2) furnishing of the information solicided to is coluntary, and (3) the principal purpose for which the information is used by the U.S. Patent and Trademan XOTIEs is to process and/or examine your submission related to a patent agricultant or patent. If you do not furnish the requested process and/or examine your submission related to a patent agricultant or patent. If you do not furnish the requested requirement of the patent of the

The information provided by you in this form will be subject to the following routine uses:

- The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
 - A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
 - A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the suited matter of the record
 - A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S. C. 552(m).
 - A record related to an International Application filed under the Patent Cooperation Treaty in this system of records
 may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant
 to the Patent Cooperation Treaty.
 - A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
 - 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or hisher designe, during an inspection of records conducted by GSA a part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 4d U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations be event inflicited; so
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 152(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitation of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application pen to public inspections or an issued patent.
 - A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.